

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Stuart Lee Breslow et al.      Group Art Unit: 2768  
Serial No.: 09/476,448      Examiner: Not yet Assigned  
Filed: December 30, 1999  
For: **ON-LINE TRADING SYSTEM**

Hon. Commissioner of Patents and Trademarks  
Washington, DC 20231

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Sir:

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(b)**

In accordance with the duty of disclosure under 37 CFR. §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO-1449 Form. The Examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. A copy of each of the documents is enclosed for convenience of the Examiner.

In addition to the patents enclosed herein, applicants enclose literature regarding the following Internet sites which may be relevant to the subject application.

- (1) *www.daytradingstocks.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.
- (2) *wwwetrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.
- (3) *www.ameritrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and account management.
- (4) *www.schwab.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.
- (5) *www.datek.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.
- (6) *www.daytradersnet.com* is a. HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(7) *www.lombard.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(8) *www.fidelity.com* is a HTML-based Internet site that offers online trading of stocks account management.

(9) *www.suretrade.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(10) *www.tradingdirect.com* is a HTML-based Internet site that offers online trading of stocks, research and account management.

(11) *www.americanexpress.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(12) *www.dljdirect.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials, research and account management.

(13) *www.jhdarbie.com* is a HTML-based Internet site that offers online trading of stocks and account management.

(14) *www.beseen.com/stocks/brokers.html* is a HTML-based Internet site that offers a list of online brokers that provide discount services to traders.

(15) *www.accutrade.com* is a HTML-based Internet site that offers online trading of stocks, limited tutorials and research.

(16) *www.rapidtrade.com* is a HTML-based Internet site that offers online trading of stocks.

(17) *www.sec.gov/consumer/jneton.htm* is a stock information web site.

(18) *www.stockinfo.standardpoor.com* is a stock information web site.

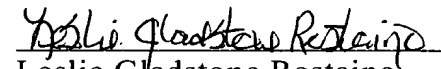
The submission of the listed documents is not intended as an admission that any of the documents constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 50-0444.

Respectfully submitted,

  
Leslie Gladstone Restaino  
Reg. No. 38,893

**Enclosures**

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Dated: March 29, 2000

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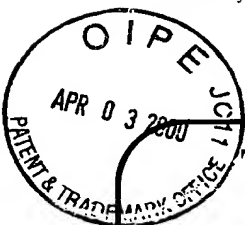
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GP 2768  
PTO/SB/21 (6-98)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee Breslow et al.
Group Art Unit	2768
Examiner Name	Not yet Assigned
Attorney Docket Number	4034-46

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement Form PTO-1449 27 References <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) - ___ Sheets <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div>Return Receipt Postcard</div>
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie Gladstone Restaino</i>
Date	March 29, 2000

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date 03/29/2000

Type or printed name	Angela L. Gehring	Date	03/29/2000
Signature	<i>Angela L. Gehring</i>		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.